

UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/841,388	04/24/2001	Asif Adatia	11252-005

CONFIRMATION NO. 6352

FORMALITIES LETTER



OC00000006197416

Steven J. Gelman
Klehr, Harrison, Harvey, Branzburg, & Ellers
260 South Broad Street
Philadelphia, PA 19102

Date Mailed: 06/19/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

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Customer Service Center

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

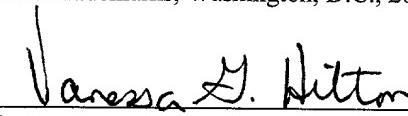
In re patent application of:
Goldman, Sachs

Serial No.: 09/841,388 Group No.: 2163

Filed: April 24, 2001 Examiner: Not Assigned

For: AUTOMATED SECURITIES TRADE EXECUTION SYSTEM AND
METHOD

I, Vanessa G. Hilton, certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C., 20231 on August 3, 2001.



Vanessa G. Hilton

BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, DC 20231

Sir:

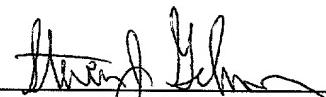
RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the "Notice to File Missing Parts of Nonprovisional Application-Filing Date Granted" dated **June 19, 2001**, a response to which is due **August 19, 2001**, enclosed herewith for filing are the following items.

- (XX) A check in the amount of \$130.00 is attached to cover the surcharge. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.
- (XX) Executed Declaration (2 sheets)
- (XX) Executed Power of Attorney (1 sheet)

- (XX) Formal Drawings (7 sheets)
- (XX) Assignment and recordation cover sheet
- (XX) A check in the amount of \$40.00 is attached to cover the cost of recordation of the assignment. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.
- (XX) Copy of the Notice to File Missing Parts of Nonprovisional Application
- (XX) Transmittal Letter
- (XX) Return receipt postcard

Respectfully submitted,



Steven J. Gelman
Registration No. 41,034

Date: August 3, 2001

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